

Exhibit 40

Mon Mar 14 2022 09:54:01 GMT-0400 (Eastern Daylight Time)

Solo Capital Partners LLP

Reference number: 566533

This firm is in special administration. It has stopped taking on new business but has to continue to meet our standards in dealing with its customers. **If you were a customer check with the firm how this affects you.**

In Special Administration

Firms we regulate may also carry out activities that are not regulated by either the FCA or the Prudential Regulation Authority (PRA). Complaints or claims about these unregulated activities may not be covered by the Financial Ombudsman Service (FOS) or the Financial Services Compensation Scheme (FSCS). If you are unsure whether an activity undertaken by a firm is regulated by us or the PRA, then you should ask the firm to confirm in writing what protections will be available to you if you need to make a complaint or claim compensation.

Who is this firm?

Firm details



Check details about this firm's place of business, contact details, etc.

Firms are required to confirm at least annually that these details are correct.

The firm has not confirmed its firm details in the last 12 months. We are addressing this with the firm.

Address

12th Floor, The Broadgate Tower
20 Primrose Street
London
EC2A 2EW
UNITED KINGDOM

Phone

442073824940

Email

compliance@solo.com

Website

www.solo.com

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Firm reference number

566533

Registered company numberOC367979**Firm status**

Check this firm's status and any additional regulatory information.

Status

Authorised - in special administration

Since 31/03/2012

This firm is in special administration. It has stopped taking on new business but has to continue to meet our standards in dealing with its customers. **If you were a customer check with the firm how this affects you.**

Sub status

In Special Administration

Since 27/09/2016

Type

Regulated

Trading names

This firm currently trades under 2 trading names.

Current names

Showing 2 results out of 2

Name	Status	Effective from
Callisto Advisors	Trading	01 Feb 2012
Solo Capital Partners LLP	Registered	13 Oct 2011

How are customers protected?

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Protections and support

Understand the protections you have when dealing with this firm, and how to make a complaint.

Customer protections and the Register

Regulated activities performed by regulated firms or individuals are covered by a range of protections. Some of these protections are not through the FCA but are primarily through the Financial Ombudsman Service and the Financial Services Compensation Scheme.

The protections available relate to specific regulated activities. We recommend that you check below for the activities that this firm has FCA and/or PRA permission to provide before going ahead. You should also contact the firm and ask them to confirm the specific protections available to you.

The Financial Ombudsman Service may be able to consider a complaint about this firm

Complaints about regulated activities that this firm has permissions for may be covered by the Financial Ombudsman Service. If you have complained to the firm and they haven't responded or you aren't satisfied with the response, you can contact the **Financial Ombudsman Service** (<https://www.financial-ombudsman.org.uk/>) for help.

The Financial Services Compensation Scheme may be able to consider a claim against this firm if it fails

Claims made in connection with regulated activities that this firm has permissions for may be covered by the Financial Services Compensation Scheme. If this firm has failed, you should contact the **Financial Services Compensation Scheme** (<https://www.fscs.org.uk/>) to find out if it can help.

If you have a complaint about a firm

If you are concerned you've been scammed: consumers in England, Wales or Northern Ireland should immediately contact **FCA Contact Centre** (<https://fca.org.uk/contact>) and **Action Fraud** (<https://www.actionfraud.police.uk/>); consumers in Scotland should immediately contact **FCA Contact Centre** (<https://fca.org.uk/contact>) and **Police Scotland**. (<https://www.scotland.police.uk>)

Complain to the firm

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20 Primrose Street
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UNITED KINGDOM

442073824940

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Report to the FCA

If you have concerns about a firm listed on the Register, **contact the FCA directly.**
(<https://www.fca.org.uk/contact>)

If you suspect you have been contacted by an unauthorised firm or individual carrying out an FCA-regulated activity, report it to us using **this form.** (**<https://www.fca.org.uk/report-scam-unauthorised-firm-individual>**)

Help using the Register

If you have any concerns or difficulties using the Register you can contact the FCA and we will talk you through the record and answer any queries you may have.

What can this firm do in the UK?

Restrictions

Check the requirements placed on this firm. Requirements are restrictions governing the regulated activities that this firm can do.

Client Money

This firm must protect the money it holds and/or controls on behalf of customers. It cannot lend this money or use it to finance its own business.

Specific requirements may change this firm's ability to hold and/or control client money – see below for details.

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Activities and services

Learn about the regulated activities that this firm has FCA and/or PRA permission to provide and other information related to specific non-regulated activities and services that may impact your business with a firm.

What to do with this information

These regulated activities are grouped into categories. You should check the specific activities within these categories relate to the business you want to do with the firm, not just the categories.

Firms we regulate may also carry out activities that are not regulated by either the FCA or the Prudential Regulation Authority (PRA). Complaints or claims about these unregulated activities may not be covered by the Financial Ombudsman Service (FOS) or the Financial Services Compensation Scheme (FSCS). If you are unsure whether an activity undertaken by a firm is regulated by us or the PRA, then you should ask the firm to confirm in writing what protections will be available to you if you need to make a complaint or claim compensation.

Once you have checked this page, you should contact the firm via their main contact details and ask them to confirm their permitted regulated activities.

If you don't understand whether the permissions cover the business you want to do, you should **contact the FCA.** (<https://www.fca.org.uk/contact>)

Investments

Arranging safeguarding and administration of assets

LIMITATIONS

Customer Type

Eligible Counterparty
Professional

Investment Type

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Certificates representing certain security
 Commodity Future
 Commodity option and option on commodity future
 Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
 Debenture
 Future (excluding a commodity future and a rolling spot forex contract)
 Government and public security
 Option (excluding a commodity option and an option on a commodity future)
 Rights to or interests in investments (Contractually Based Investments)
 Rights to or interests in investments (Security)
 Rolling spot forex contract
 Share
 Spread Bet
 Unit
 Warrant

Limitation

Rights to or interests in (both).
 Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Safeguarding and administration of assets (without arranging)



LIMITATIONS

Customer Type

Eligible Counterparty
 Professional

Investment Type

Certificates representing certain security
 Commodity Future
 Commodity option and option on commodity future

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Contract for Differences (excluding a spread bet and, a rolling spot forex contract and a binary bet)
 Debenture
 Future (excluding a commodity future and a rolling spot forex contract)
 Government and public security
 Option (excluding a commodity option and an option on a commodity future)
 Rights to or interests in investments (Contractually Based Investments)
 Rights to or interests in investments (Security)
 Rolling spot forex contract
 Share
 Spread Bet
 Unit
 Warrant

Limitation

Rights to or interests in (both).
 Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Other activities

Agreeing to carry on a regulated activity

LIMITATIONS

Limitation

Limited to carry on regulated activities.
 The firm can only agree to carry on the regulated activities specified in this Notice.

Who is involved with activities at this firm?

Individuals

Individuals currently and previously involved in regulated activities at this firm.

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You should check the details of any individual that you want to carry out regulated activities on your behalf, especially their current roles and any disciplinary or regulatory action on their record.

Previous

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Name	Individual reference number	Role
<u>Gary Pitts</u>	GXP01123	CF4 Partner CF10 Compliance Oversight CF11 Money Laundering Reporting
<u>Daniel Redszus</u>	DXR01207	CF30 Customer
<u>Steven David Ball</u>	SDB01070	CF30 Customer
<u>Matthew Neale</u>	MJN01050	CF30 Customer
<u>Jason Browne</u>	JPB01269	CF30 Customer
<u>JIBAN Nath</u>	JXN01323	CF30 Customer
<u>Oliver James Hughes</u>	OJH01003	CF30 Customer
<u>Omar Husain Arti</u>	OXH01086	CF30 Customer
<u>Anne Christine Stratford-Martin</u>	ACS01197	CF3 Chief Executive CF4 Partner CF10a CASS Oversight function

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Name	Individual reference number	Role
<u>Wai Yip Yau</u>	WYY01003	CF4 Partner

Who is this firm connected to?

Regulators



Current and former regulators of this firm.

This table shows the former and current regulators of this firm, in the UK and in other European Economic Area (EEA) countries.

Showing 2 results out of 2

Regulator	Effective from	Effective to
Financial Conduct Authority	01 Apr 2013	
Financial Services Authority	31 Mar 2012	31 Mar 2013